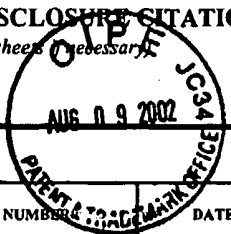


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(Use several sheets if necessary)



Docket Number (Optional)  
HCSI-101

Application Number  
10,090,632

Applicant(s)  
Clark Lum

Filing Date  
March 6, 2002

Group Art Unit  
1636

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
gu		US 5,004,681	04/02/91	Boyse et al.			
		US 5,061,620	10/29/91	Tsukamoto et al.			
		US 5,397,706	03/14/95	Correa et al.			
		US 5,399,493	03/21/95	Emerson et al.			
		US 5,541,103	07/30/96	Kanz et al.			
		US 5,599,703	02/04/97	Davis et al.			
		US 5,610,056	03/11/97	Nakahata			
		US 5,635,387	06/03/97	Fei et al.			
		US 5,646,043	07/08/97	Emerson et al.			
		US 5,670,351	09/23/97	Emerson et al.			
		US 5,677,136	10/14/97	Simmons et al.			

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## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
gu		WO95/06112	03/02/95	PCT				
		WO97/17079	05/15/97	PCT				
		WO97/41224	11/0697	PCT				
		WO98/21313	05/22/98	PCT (in Japanese)				
		WO99/30723	06/24/99	PCT				

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gu		AABB Standards and Manuals available through <a href="http://www.aabb.org">www.aabb.org</a> .
1		Almeida-Porada et al., "Evaluation of Serum-Free Culture Conditions Able to Support the Ex Vivo Expansion and Engraftment of Human Hematopoietic Stem Cells in the Human-to-Sheep Xenograft Model," J. Hematotherapy & StenCell Research 9:683-693 (2000).

EXAMINER

*Joe W. [Signature]*

DATE CONSIDERED

11/24/04

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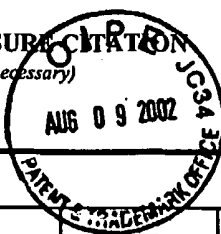
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<i>SW</i>		US5,688,687	11/18/97	Palsson et al.			
		US 5,766,951	06/16/98	Brown			
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<i>SW</i>		Almici et al., "Umbilical cord blood as a source of hematopoietic stem cells: from research to clinical application," Haematologica 80(5):473-9 (1995).
<i>SW</i>		Bhatia et al., "Quantitative analysis reveals expansion of human hematopoietic repopulating cells after short-term ex vivo culture," J. Exp Med 186(4):619-24 (1997).

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*Joe Winters*

DATE CONSIDERED

*11/24/04*

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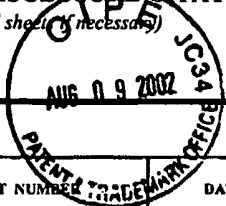
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g		US 6,030,836	02/29/00	Thiede et al.			
		US 6,048,721	04/11/00	Armstrong et al.			
		US6,096,532	08/01/00	Armstrong et al.			

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**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

g		BioWhittaker Catalogue information on X-VIVO 10 serum free culture media, www.biowhittaker.be/xvivointro.
g		Brown, R.A., et al., "High-dose etoposide, cyclophosphamide and total body irradiation with allogeneic bone marrow transplantation for resistant acute myeloid leukemia: a study by the North American Marrow Transplant Group," Leuk Lymphoma 2:271-277 (1996).

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		Filing Date <b>March 6, 2002</b>	Group Art Unit <b>1636</b>

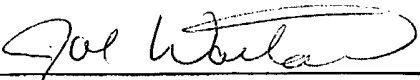
  

*EXAMINER INITIAL	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
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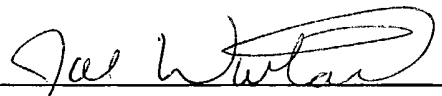
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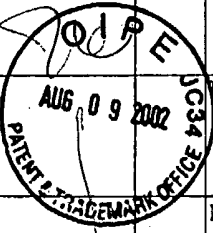
  

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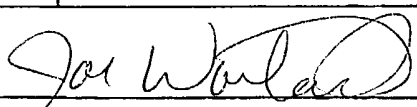
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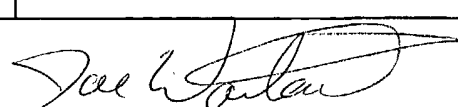
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		Applicant(s) <b>Clark Lum</b>	
		Filing Date	Group Art Unit
		Mar. 6, 2002	1636

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	Unrelated Allogeneic Cord Blood Banking and Transplant Forum (Aug. 14-15, 2000) at <a href="http://www.NHLBI.nih.gov/meetings/cobl_fyrhtm.schedule">www.NHLBI.nih.gov/meetings/cobl_fyrhtm.schedule</a> only.	
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HCSI-101

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

LUM, CLARK

Serial No.: 10/090,632

Filed: March 6, 2002

For: SYSTEM AND METHOD FOR  
DELIVERING UMBILICAL CORD-  
DERIVED TISSUE-MATCHED  
STEMS FOR TRANSPLANTATION

Art Unit: 1636

Examiner: Not Yet Assigned

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AUG 13 2002

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#### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants wish to make of record in the above-identified application the documents referenced on the attached Form PTO-1449. A copy of each reference is enclosed herewith.

The undersigned believes that this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application. Accordingly, Applicants do not believe that a fee is due for filing this paper. However, should a first action on the merits have been issued on the same day or before this Information Disclosure Statement is filed, please accept this Information Disclosure Statement under Rule 97(c) and charge the requisite Rule 17(p) fee to our Deposit Account No. 50-1390, under Order No. HCSI-101 and proceed to consider this Information Disclosure Statement.

Serial No.: 10,090,632  
Art Unit: 1636

Attorney's Docket No.: HCSI-101  
Page 2

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that each reference be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This submission does not represent that any referenced document is material or constitutes "prior art." If it should be determined that one or more of the referenced documents constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the reference or references.

WO98/21313, in Japanese, is cited as being directed to a method for culturing hematopoietic stem cells.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over any referenced document, should it be applied against the claims of the present application.

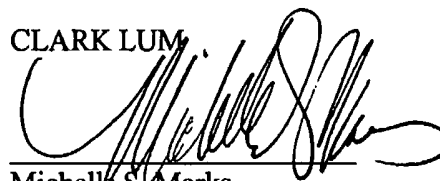
SHAW PITTMAN LLP  
1650 Tysons Boulevard  
McLean, VA 22102  
Tel: 703/770-7900

Date: August 9, 2002

Respectfully submitted,

CLARK LUM

By:

  
Michelle S. Marks  
Registration No. 41,971



HCSI-101

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

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In re the Application of:

CLARK LUM

Serial No.: 10/090,632

Filed: March 6, 2002

For: SYSTEM AND METHOD FOR  
DELIVERING UMBILICAL CORD-  
DERIVED TISSUE-MATCHED  
STEM CELLS FOR  
TRANSPLANTATION

Art Unit: 1636

Examiner: Unknown

#### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants wish to make of record in the above-identified application the document or documents referenced on the attached Form PTO-1449. A copy of each reference is enclosed herewith.

The cited references are mentioned in the Search Report (copy enclosed) of applicant's corresponding International patent application and are believed relevant for at least that reason.

The undersigned believes that this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application.

Accordingly, Applicants do not believe that a fee is due for filing this paper. However, should a first action on the merits have been issued on the same day or before this Information Disclosure Statement is filed, please accept this Information Disclosure Statement under Rule 97(c) and

Serial No.: 10/090,632  
Art Unit: 1636

Attorney's Docket No.: HCSI-101  
Page 2

charge the requisite Rule 17(p) fee to our Deposit Account No. 50-1390, under Order No. HCSI-101 and proceed to consider this Information Disclosure Statement.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that each reference be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This submission does not represent that any referenced document is material or constitutes "prior art." If it should be determined that one or more of the referenced documents constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the reference or references.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over any referenced document, should it be applied against the claims of the present application.

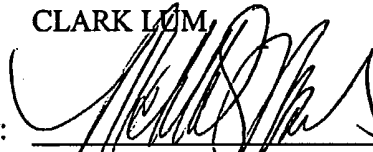
SHAW PITTMAN LLP  
1650 Tysons Boulevard  
McLean, VA 22102  
Tel: 703/770-7645

Date: September 25, 2002

Respectfully submitted,

CLARK LUM

By:

  
Michelle S. Marks  
Registration No. 41,971

MSM/lf  
1274157







HCSI-101

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

C. LUM

Serial No.: 10/090,632

Filed: March 6, 2002

For: SYSTEM AND METHOD FOR  
DELIVERING UMBILICAL CORD-  
DERIVED TISSUE-MATCHED  
STEM CELLS FOR  
TRANSPLANTATION

Art Unit: 1636

Examiner: Not Yet Assigned

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants wish to make of record in the above-identified application the document or documents referenced on the attached Form PTO-1449. A copy of each reference is enclosed herewith.

The Written Opinion (copy enclosed) is mentioned in the applicant's corresponding International patent application and is believed relevant for at least that reason.

The undersigned believes that this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application.

Accordingly, Applicants do not believe that a fee is due for filing this paper. However, should a first action on the merits have been issued on the same day or before this Information Disclosure Statement is filed, please accept this Information Disclosure Statement under Rule 97(c) and



Serial No.: 10/090,632  
Art Unit: 1636

Attorney's Docket No.: HCSI-101  
Page 2

charge the requisite Rule 17(p) fee to our Deposit Account No. 50-1390, under Order No. HCSI-101 and proceed to consider this Information Disclosure Statement.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that each reference be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This submission does not represent that any referenced document is material or constitutes "prior art." If it should be determined that one or more of the referenced documents constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the reference or references.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over any referenced document, should it be applied against the claims of the present application.

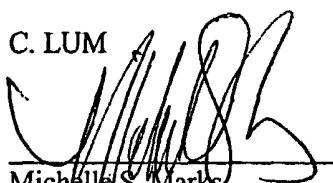
SHAW PITTMAN LLP  
1650 Tysons Boulevard  
McLean, VA 22102  
Tel: 703/770-7900

Date: September 3, 2003

Respectfully submitted,

C. LUM

By:

  
Michelle S. Marks  
Registration No. 41,971



\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.